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Attorney Docket No.	10320-006-999	Total Pages	88
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First Named Inventor or Application Identifier ☐

Dilip Gajendra Gadkar

Express Mail Label No. EL 501 638 098 US

(Only for new nonprovisional applications under 37 CFR 1.53(b))

## Assistant Commissioner

**See MPEP chapter 600 concerning utility patent application contents.**

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| 1. | <input checked="" type="checkbox"/> <b>Fee Transmittal Form</b><br><i>Submit an original, and a duplicate for fee processing)</i>  | 6. <input type="checkbox"/> Microfiche Computer Program ( <i>Appendix</i> )   |
| 2. | <input checked="" type="checkbox"/> <b>Specification</b><br><i>(preferred arrangement set forth below)</i>   | 7. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission<br><i>(if applicable, all necessary)</i>   |
|    | <div style="text-align: right;">[Total Pages <u>50</u>]</div> -Descriptive title of the Invention<br>-Cross Reference to Related Applications<br>-Statement Regarding Fed sponsored R&D<br>-Reference to Microfiche Appendix<br>-Background of the Invention<br>-Brief Summary of the Invention<br>-Brief Description of the Drawings ( <i>if filed</i> )<br>-Detailed Description of the Invention (including drawings, <i>if filed</i> )<br>-Claim(s)<br>-Abstract of the Disclosure | a. <input type="checkbox"/> Computer Readable Copy<br><br>b. <input type="checkbox"/> Paper Copy (identical to computer copy)<br><br>c. <input type="checkbox"/> Statement verifying identity of above copies |
| 3. | <input checked="" type="checkbox"/> Drawing(s) ( <i>35 USC 113</i> )   | <div style="text-align: right;">[Total Sheets <u>26</u>]</div>  |
| 4. | <input type="checkbox"/> Oath or Declaration (Unexecuted)  | <div style="text-align: right;">[Total Sheets <u>2</u>]</div>   |
|    | a. <input checked="" type="checkbox"/> Newly executed (original or copy)<br>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br><i>(for continuation/divisional with Box 17 completed)</i><br><div style="text-align: center;"><b>[Note Box 5 below]</b></div> i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u><br>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33 (b).              |   |
| 5. | <input checked="" type="checkbox"/> Incorporation By Reference ( <i>useable if Box 4b is checked</i> )<br>The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.  |   |

**ACCOMPANYING APPLICATION PARTS**

8.	<input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))	
9.	<input type="checkbox"/> 37 CFR 3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i>	
10.	<input type="checkbox"/> English Translation Document ( <i>if applicable</i> )	
11.	<input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449	<input type="checkbox"/> Copies of IDS Citations
12.	<input type="checkbox"/> Preliminary Amendment	
13.	<input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i>	
14.	<input checked="" type="checkbox"/> Small Entity <input type="checkbox"/> Statement filed in prior application, Statement(s) Status still proper and desired	
15.	<input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i>	
16.	<input type="checkbox"/> Other:	

## ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
14. ☒ Small Entity ☐ Statement filed in prior application,  
Statement(s) Status still proper and desired
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Other:

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:

☐ Continuation    ☐ Divisional    ☒ Continuation-in-part (CIP)    of prior application No: 09/636,588 filed August 10, 2000.

## 18. CORRESPONDENCE ADDRESS

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Attach bar code label here)

or ☐ Correspondence address below

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**PENNIE & EDMONDS LLP**  
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ATTORNEY DOCKET NO. 10320-006-999Date: March 21, 2001

Assistant Commissioner for Patents  
 Box PATENT APPLICATION  
 Washington, D.C. 20231

Sir:

The following utility patent application is enclosed for filing:

Applicant(s): DILIP GAJENDRAGADKARExecuted on: March 21, 2001

Title of Invention: SYSTEM AND METHOD OF COLLECTING, PROCESSING AND DISPLAYING STOCK  
 CERTIFICATE DATA OVER A COMPUTER NETWORK

**PATENT APPLICATION FEE VALUE**

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	26	-20	6	\$18.00 each	\$ 108.00
Independent	2	-3	0	\$80.00 each	\$ 0.00
Minimum Fee					\$ 710.00
Multiple Dependency Fee If Applicable (\$270.00)					\$ 0.00
<b>Total</b>					\$ 818.00
50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern (a verified statement as to the applicant's status is attached)					- \$ 409.00
<b>Total Filing Fee</b>					\$ 409.00

- ☐ **DO NOT PUBLISH.** I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).
- ☐ Priority of application no. filed on in is claimed under 35 U.S.C. § 119.
- ☐ The certified copy of the priority application has been filed in application no. filed
- ☒ Amend the specification by inserting before the first line the following sentence: This is a continuation-in-part of application no. 09/636,588 filed August 10, 2000.

Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.

Respectfully submitted,



DAVID WEILD, III  
 PENNIE & EDMONDS LLP

(Reg. No.) 21,094

Enclosure

This form is not for use with continuation, divisional, re-issue, design or plant patent applications.